



DELHI TECHNOLOGICAL UNIVERSITY

(Estd. By Govt. of NCT of Delhi vide Act 6 of 2009)

File No: DTU-IIF/NISP/06/2020-21/302

Date: 29.10.2022

NOTIFICATION

Subject – DTU Innovation and Startup Policy for Students and Faculty

Hon'ble Vice Chancellor of Delhi Technological University has conveyed approval for DTU Innovation and Startup Policy for Students and Faculty.


(Prof. Madhusudan Singh)
Registrar

Encl: DTU-Innovation and Startup Policy for Students and Faculty

File No: DTU-IIF/NISP/06/2020-21/302

Date: 29.10.2022

Copy to the following for information

1. PS to Hon'ble Vice Chancellor
2. Registrar
3. All Deans
4. All HoDs
5. Head Computer Centre with a request to upload on website
6. Librarian
7. Guard File


(Prof. Madhusudan Singh)
Registrar



Delhi
Technological
University
Shahbad Daulatpur,
Main Bawana Road,
Delhi - 110042, INDIA

DTU-ISP

Delhi Technological University
Innovation and Startup Policy For
Students and Faculty

2
0
2
2



ABSTRACT

DTU INNOVATION and STARTUP Policy for ‘Students and Faculty’

Govt of India is keen on revolutionizing the Indian Education System by implementing several fundamental changes. The New Education Policy brings in several new concepts, the IKS (Indian Knowledge Systems) open up avenues to learn from the ancient Indian civilizational progress and so on. One of the fundamental change sought to be ingrained in the young impressionable minds is to train them to believe that they are not in an educational Institute to merely earn a certificate and then get enrolled on various employment portals, rather they are here to identify the societal problems, find optimal solutions to it and then develop a business around it and then give employment to others. Indian Govt is working in this direction through Niti Ayog, Ministry of Human Resource Development and various other ministries.

Ministry of Human Resource Development has come out with a Guiding Framework for Higher Education Institutions. These guidelines have been published under, ‘The National Innovation and Startup Policy 2019 for students and faculty of Higher Education Institutions (HEIs). These guidelines have been issued to enable the institutes to actively engage students, faculties and staff in innovation and entrepreneurship related activities. This framework is also to facilitate Ministry of Human Resource Development in bringing uniformity across HEIs in terms of Intellectual Property ownership management, technology licensing and institutional Startup policy, thus enabling creation of a robust innovation and Start up ecosystem across all HEIs.

In consonance with the guidelines issued by the Ministry of Human Resource Development, Delhi Technological University too has come out with its own Start up policy, titled, ‘*University Innovation and Startup Policy for ‘Students and Faculty’*. The policy has been laid down in four sections, consisting of the preamble and background, provisions on core issues of the DTU Innovation and Startup Policy, specific issues in respect of faculty/staff, and certain specific issues regarding the students. This is the first edition of the policy and it will be supported by various other policies and instructions issued with the approval of competent authority from time to time. The policy will be taken up for review at an appropriate time. The policy encourages all the faculty, staff and students to make the best of use of it to develop and nurture an intellectually challenging and rewarding startup ecosystem in DTU.

DTU INNOVATION AND STARTUP POLICY

Contents		PageNo.	
		From	To
1.0	Introduction	5	8
1.1	Preamble	5	5
1.2	Definitions and Nomenclatures	5	6
1.3	About Delhi Technological University (DTU)	6	7
1.4	About DTU-Innovation and Incubation Foundation (DTU-IIF)	7	8
1.5	Layout of this document	8	8
2.0	DTU Innovation and Start-Up Policy	9	19
2.1	Vision	9	9
2.2	Mission	9	9
2.3	Strategies and Governance	9	11
2.4	Startups Enabling Institutional support (Infrastructure)	11	12
2.5	IP and Product Ownership Rights for Technologies Developed at Institute	12	13
2.6	Organizational Capacity, Human Resources and Incentives	13	14
2.7	Creating Innovation Pipeline and Pathways for Entrepreneurs at Institute Level	15	16
2.8	Pedagogy and Learning Interventions for Entrepreneurship Development	16	17
2.9	Collaboration, Co-creation, Business Relationships and Knowledge Exchange	17	17
2.10	Entrepreneurial Impact Assessment	18	18
2.11	Terms and Conditions - Settlement of disputes, authority, confidentiality	19	19
2.12	Review of the Policy	19	19
2.13	Way Forward	19	19
3.0	DTU Innovation and Start-Up Policy – Regulations for Faculty	20	24
3.1	Norms for faculty Startups at DTU	20	20
3.1.1	Applicability and Terms and Conditions	20	21
3.1.2	Methods of Admittance	21	23
3.2	Regulations for Financial Handling	23	24

4.0	DTU Innovation and Start-Up Policy for Students	25	30
4.1	Norms for faculty Startups at DTU	25	25
	4.1.1 Applicability	25	27
	4.1.2 Methods of Admittance	27	29
4.2	Regulations for Financial Handling	29	30

References

DTU INNOVATION AND STARTUP POLICY

1.0 Introduction

1.1 Preamble

A need for developing innovation and entrepreneurship amongst the faculty and students have long been felt. The efforts in this direction had always been there and culminated in **All India Council of Technical Education (AICTE)** policy on inculcation of innovation and entrepreneurial culture in higher education institutions (HEIs) in 2016. The policy guidelines for AICTE approved institutions on implementing ‘Startup Action Plan’ of Government of India was issued. Subsequently as the feedbacks were received, in order to develop a more elaborate and comprehensive policy document for all the HEIs in India, a fifteen membered committee was constituted by Ministry of Human Resource Development (MHRD) to formulate detailed guidelines for various aspects related to innovation, Startup and entrepreneurship management. After detailed deliberations on various aspects such as nurturing the innovation and Startup culture in HEIs, Intellectual Property ownership, revenue sharing mechanisms, norms for technology transfer and commercialization, equity sharing, etc. Finally, National Innovation and Startup Policy 2019 for students and faculties, a guideline framework for HEIs was issued.

Delhi Technological University (DTU) is one of the premier Delhi State University with a rich academic and research culture. It has been contributing to the society by producing finest, technologically savvy engineers. In line with the vision of Govt of India towards Aatm Nirbharta and MHRD guidelines, DTU has developed this document for nurturing innovation, startup and entrepreneurship amongst the students and faculty of the University.

1.2 Definitions and Nomenclatures

- (a) “Faculty Member” shall mean Assistant Professor/ Associate Professor/ Professor of the DTU including reemployed Professor, Visiting Professor, Emeritus Professor, Adjunct Professor, Professor of Eminence, Honorary Faculty/Professor etc. This definition shall also include all the faculty members of erstwhile Delhi College of Engineering.
- (b) “Staff” shall mean any non-teaching employee of the university. This definition shall also include all the staff members of erstwhile Delhi College of Engineering.
- (c) “Researcher” shall mean a person who is associated with the university and doing innovative work whether student or faculty member. A researcher must be enrolled in the university.
- (d) “Student’ shall mean any student registered under any of the programs offered by the University. It will NOT include any student on internships from outside DTU even if they are part of any innovation team.
- (e) “Startup” An entity that develops a business model based on either product

innovation or service innovation or business model innovation and makes it scalable, replicable and self-reliant and as defined in Gazette Notification No. G.S.R. 127(E) dated February 19, 2019.

(f) “Accelerators” Startup Accelerators design programs in batches and transform promising business ideas into reality under the guidance of mentors and several other available resources

(g) “Technology Business Incubator” Technology Business incubator (TBI) is an entity, which helps technology-based startup businesses with all the necessary resources/support that the startup needs to evolve and grow into a mature business

(h) “Intellectual Property Rights Licensing” is a partnership between an intellectual property rights owner and another who is authorized to use such rights (licensee) in exchange for an agreed payment (fee or royalty).

(i) “DTU-IIF” shall mean DTU Incubation and Innovation Foundation

(j) “University” shall mean Delhi Technological University, Delhi

1.3 About Delhi Technological University (DTU)

"81 years of Tradition of excellence in Engineering & Technology Education, Research and Innovations" Delhi College of Engineering, (initially established with the name – Delhi Polytechnic) came into existence in the year 1941 to cater the needs of Indian industries for trained technical manpower with practical experience and sound theoretical knowledge. The institution was set up at historic Kashmere Gate campus as a follow up of the Wood and Abott Committee of 1938. It comprised of a multi-disciplinary and multi-level institution offering wide ranging programmes in engineering, technology, arts and sculpture, architecture, pharmacy and commerce. The national diploma awarded by the institution was recognized as equivalent to degree level for the purposes of employment. In 1952 the college was affiliated with University of Delhi and started formal Degree level Programmes. The Department of Architecture later became the School of Planning and Architecture, now a Deemed University and Institution of National importance. The Department of Arts and Sculpture became College of Arts and the departments of Chemical Technology and Textile Technology were shifted out en-block to mark beginning of the IIT Delhi at its new campus at Hauz-Khas. The department of commerce was later abolished, and the faculty of management studies of the University of Delhi was established by Prof. A Das Gupta, of DCE. Delhi College of Engineering is thus the mother institution of several national projects including IITD, SPA, College of Arts and even the famous FMS.

Till 1962, the college was under the direct control of Ministry of Education, Government of India. In 1963, the administration of the college was handed over to Delhi Administration. Delhi College of Engineering was under the administrative control of Department of Training and Technical Education, Govt. of NCT of Delhi. For academic purposes, the college was affiliated to University of Delhi since 1952. From July 2009, the DCE has become Delhi Technological University vide Delhi act 6 of 2009.

The erstwhile DCE has functioned from its historic Kashmere Gate Campus for almost 55 years and has shifted in 1996 to its lush green sprawling campus of 164 Acres at Bawana Road, adjoining Sector-17, Rohini, Delhi-42. Its shifting to new campus has added the dimension of research and caused innovations in plenty, which has received high national and international acclaim. As a Delhi Technological University, it has the desired autonomy to excel and shape itself as a world class Technological University.

1.4 About DTU Innovation and Incubation Foundation (DTU-IIF)

DTU Innovation and Incubation Foundation aims to bring together the entrepreneurial passions to converge on a common platform.

DTU Innovation and Incubation Foundation (DTU-IIF) was established as Section 8 Company with License Number 107658 and CIN number U74999DL2016NPL305531, as per 2013 Companies Act of Govt. of India. The company runs a Technology Business Incubator (TBI) of Delhi Technological University (DTU).

DTU IIF was established as per the policy guidelines of Govt, of NCT of Delhi on summary recommendations of a working group established by the Government of National Capital Territory of Delhi, under order NO. F.75 (73)/2015-16/Incubation/ADPL/321-330 dated 5/6/15 for the following purpose:

- To create a culture of entrepreneurship, Start-ups, and Intellectual Property Creation that can lead to value creation, jobs and employment and do social and economic good.
- To facilitate creation of incubation centers that offer incubation infrastructure- space, computing resources, connectivity, common tools, and environment for co-working, collaboration, and innovation.
- Create entrepreneurship challenges based upon existing problems to foster Innovation.

Since its nascence in 2016, **DTU Innovation and Incubation Foundation** has aimed to bring to the forth the entrepreneur dwelling within so many of us. To accomplish the goal of serving as an efficacious platform for networking and interaction, **DTU Innovation and Incubation Foundation** has been organising a host of events.

Why DTU Innovation and Incubation Foundation?

Our aim is to advocate the idea of entrepreneurship in the community and to inspire more and more students to take up entrepreneurship as a career. **DTU Innovation and Incubation Foundation** host various workshops, speaker sessions, innovative games, competitions for aspiring and visionary entrepreneurs and support them by providing necessary resources such as working space, seed funding, mentoring, consultancy, and networking.

1.5 Layout of this Document

This document is laid out as explained here. Section-1 gives the Preamble and background to which forms the basis of this document. It also gives a historical background and achievements of DTU, and an introduction to DTU-IIF. Section-2 deals with the core issues of the DTU Innovation and Startup Policy. Section-3 deals with the specific issues in respect of faculty and Section-4 deals with specific issues regarding the students. Various Annexures and Forms are attached at the end.

2.0 DTU Innovation and Startup Policy for Faculty and Students

2.1 Vision

The DTU vision for the DTU Innovation and startup policy for faculty and students is as under -

“To create the Entrepreneurial Ecosystem by Innovation to provide enhanced value propositions to the customers and create wealth and employment for everyone.”

2.2 Mission

The mission for the DTU Innovation and startup policy for faculty and students are as under-

- To provide incubation and business support services to Startups/Companies so that they can grow and prosper.
- To orient the educational system of the institute towards startups and entrepreneurship opportunities for student and faculties.
- To strengthen the innovation-based entrepreneurship development establishments.
- To encourage and to support students, faculty and staff to consider start-ups and entrepreneurship as a career option.
- To provide enabling mechanisms to start-ups, through training and skill development, capacity building, networking, access to knowledge & support services, etc. on continuous basis.
- To provide the guidelines to stakeholders of DTU for developing entrepreneurial agenda, managing Intellectual Property Rights (IPR) ownership, technology licensing and equity sharing in Startups or enterprises established by faculty and students.

2.3 Strategies and Governance

Based on accumulated experience, University has initiated the establishment of third vertical of innovation and entrepreneurship along with the traditional verticals of placements and higher studies. A separate DTU-Innovation and entrepreneurship policy (DTU-USIP) has been framed to support this vertical. This initiative has created a pathway towards development of culture among students and faculties to adopt entrepreneurship as one of the carrier options. In addition, DTU lays down following guidelines as part of its strategies and governance for DTU Innovation and Startup policy -

Governance and Structures

- (a) DTU aims to achieve its innovation, startup and entrepreneurial vision through a series of mission statements rather than stringent control system.

(b) University has already founded a dedicated University-Institute Innovation Council (IIC), IPR Cell and SPV in the name of DTU-Innovation and Incubation Foundation (DTU-IIF), which will continue to nurture and facilitate budding innovators and entrepreneurship.

(c) One of the missions of DTU is establishment of Centers in emerging areas. University already has a few research Centers. The University shall further encourage establishment of sustainable independent/ departmental research Centers in various emerging areas to nurture/develop new technologies which can be adopted by faculty and Startups.

(d) There are a large number of student chapters, societies and E-Cell. DTU has well laid down SOPs for starting of new Technical Societies and Chapters which may lead to the emergence of several Technical Societies and Chapters.

Financial Strategies

(a) DTU may allocate funds, if required for innovation and entrepreneurship activities.

(b) Encouragement shall be given for raising funds from diverse Govt sources such as DST, DBT, MHRD, AICTE, TDB, TIFAC, DSIR, CSIR, BIRAC, NSTEDB, NRDC, Startup India, Invest India, MeitY, MSDE, MSME, etc.

(c) To support technological incubators, DTU will approach private and corporate sectors to generate funds, under Corporate Social Responsibility (CSR) as per Section 135 of the Company Act 2013.

(d) DTU will also continuously seek support and donations by engaging its alumni network for promoting innovation and entrepreneurship.

(e) DTU will also raise funding through sponsorships and donations.

(f) DTU will interact with various financial institutions for cheaper line of credits with/without mortgages or with financial guarantees.

Activities

(a) Efforts will be encouraged to make DTU as a driving force in developing entrepreneurship culture in its vicinity. To this end, regular training activities will be planned on various aspects of startup and entrepreneurship, motivational programs in nearby area.

(b) IIC will plan and coordinate institutional programs such as conferences,

leadership lecture series, workshops, etc. to spread the awareness regarding importance of innovation and entrepreneurial agenda among stakeholders.

(c) DTU will encourage and facilitate International coordination and collaboration for promoting I &E. International exchange programs, internships, engagement of international faculties in teaching, research and innovation.

(d) DTU shall encourage regular student activities through E-Cell, Technical Chapters to propagate and involve student community.

(e) University shall establish Technology transfer office (TTO) to facilitate the commercialization of developed technology.

(f) DTU shall work to promote the integration of startups into the various university programs.

2.4 Startup Enabling Institutional Infrastructure Support

Without innovation, new enterprises are unlikely to succeed, therefore, DTU gradually but continuously intends to create organically interlinked pre-incubation and incubation facilities for nurturing innovations and startups.

The goal of the institutional infrastructure support is building efforts to link-Innovation to Enterprises to Financial Success.

In order to achieve this, DTU intends to do the following –

(a) To create facilities within DTU to support pre-incubation (e.g. Institute Innovation Council as per the guidelines by MoE's Innovation Cell, EDC, Innovation Cell, Startup Cell, Student Clubs, E-Cell, etc.) and Incubation/acceleration by mobilizing resources from internal and external sources.

(b) This Pre-Incubation/Incubation facility will be made accessible 24x7 to faculty, students and staff of all disciplines and departments across the institution.

(c) Pre-incubation facilities will be created under DTU Innovation and Incubation Foundation (DTU IIF). DTU IIF is registered under Section-8 of Company Act 2013 with independent governance structure. This will allow more freedom to Incubator in decision making with less administrative hassles for executing the programs related to innovation, IPR and Startups. Moreover, they will have better accountability towards investors supporting the incubation facility.

(d) DTU through DTU IIF is shall also offer mentoring and other relevant services through Pre-incubation/Incubation units in-return for fees, equity sharing and (or) zero payment basis. The modalities regarding Equity Sharing in Startups

supported through these units will depend upon the nature of services offered by these units and are explained in respective sections for faculty and students – Section 3 and Section 4.

2.5 *IP and Product Ownership Rights for Technologies Developed at Institute*

In line with guiding framework - National Innovation and Startup policy 2019 for Students and faculty for HEIs, following provision shall apply for DTU.

(a) When DTU facilities / funds are used substantially or when IPR is developed as a part of curriculum/ academic activity, IPR is to be jointly owned by inventors and the institute with following conditions;

(i) Inventors and institute will together license the product / IPR to any commercial organization, with inventors having the primary say. License fees could be either / or a mix of

(aa) Upfront fees or one-time technology transfer fees

(ab) Royalty as a percentage of sale-price

(ac) Shares in the company licensing the product

(ii) A separate committee of Technology Transfer Office (TTO) of the university will examine and recommend License fees on case to case basis.

(iii) Benefits of clause i(aa) and i(ab) shall be transferred to DTU

(iv) Benefits of clause i(ac) shall be transferred to DTU-IIF.

(v) An institute shall not be allowed to hold the equity as per the current statute, so DTU through its section-8 company DTU-IIF will hold equity on their behalf.

(vi) If one or more of the inventors wish to incubate a company within DTU-IIF and license the product to their own company, the License fees would be exempted for initial period of three years. Once the startup ventures establishes the commercial viability within the limited exclusive period the license agreement shall be revisited and modified into exclusive over and extended period with a royalty considerations, quantum of which shall be determined by DTU. In case the startup fails to achieve commercial breakthrough within the allotted period the exclusivity of the license to the startup shall be forfeited.

(vii) If one or more of the inventors wish to incubate a company outside DTU-IIF and license the product to the company, the royalties would be no more than 4% of the sale price preferably 1 to 2% to DTU. If it is shares in the company, shares will again be 1 to 4%.

(viii) A separate committee of TTO office of the university will examine and recommend all issues related to royalty/share between DTU-IIF and

incubated company on case to case basis within the ceiling as mentioned in this policy and other relevant Govt. Guidelines.

(b) On the other hand, if product/ IPR is developed by innovators not using any institute facilities, outside office hours (for staff and faculty) or not as a part of curriculum by student, then product/ IPR will be entirely owned by inventors in proportion to the contributions made by them. In this case, inventors can decide to license the technology to third parties or use the technology the way they deem fit.

(c) Institute IPR cell or incubation center will only be a coordinator and facilitator for providing services to faculty, staff and students. They will have no say on how the invention is carried out, how it is patented or how it is to be licensed. If institute is to pay for patent filing, a committee shall examine whether the IPR is worth patenting. The committee shall consist of faculty who have experience and excelled in technology translation. The constitution of the 3 member committee is as under:

- (i) two faculty members (having developed sufficient IPR)
- (ii) one legal advisor with experience in IPR

(d) All institute's decision-making body with respect to incubation / IPR / technology-licensing will consist of faculty and experts who have excelled in technology translation. As per MoE guidelines, other faculty in the department / institute will have no say, including heads of department, heads of institutes, deans or registrars.

(e) DTU shall encourage and promote Interdisciplinary research and publication on startup and entrepreneurship.

2.6 Building Organizational Capacity, Human Resources and Incentives

DTU shall create appropriate organizations as required starting with DTU-IIF and also develop appropriate human resources to promote Innovation and Startup. DTU will gradually take following actions –

(a) DTU shall recruit/hire, as and when required, appropriate manpower with a strong innovation and entrepreneurial/ industrial experience, behaviour and attitude. The primary source of manpower will be the relevant faculty members with prior exposure and interest. To achieve better engagement of staff in entrepreneurial activities, the faculty and staff will be provided/detailed for regular training.

(b) Faculty and departments of the DTU shall be encouraged to work in coherence and cross-departmental linkages would be strengthened through shared faculty, cross-faculty teaching and research in order to gain maximum utilization of internal resources and knowledge.

(c) Periodically some external subject matter experts such as guest lecturers or

alumni shall be engaged for strategic advice and bringing in skills which are not available internally.

(d) Faculty and staff would be encouraged to do courses on innovation, entrepreneurship management and venture development.

(g) In order to attract and retain right people, DTU would develop academic and non-academic incentives and reward mechanisms for all faculty/staff and stakeholders that actively contribute and support entrepreneurship agenda and activities. These awards would be in line and in addition with the Research awards already instituted by DTU.

(h) The reward system for the faculty/staff will include sabbatical without pay, office and lab space for entrepreneurial activities, awards, trainings, etc.

(i) The recognition of the stakeholders shall include offering use of facilities and services, strategy for shared risk, as guest teachers, fellowships, associateships, etc.

(j) A performance matrix would be developed and used for evaluation of annual performance.

Companies will be allowed to remain in the incubator of DTU, to begin with for a period of 18 months that may be extended at each point to another 12 (6+6) months after study. For this 30-month period, the business will be paid a nominal monthly fee. The incubator of DTU can at its sole discretion, allow companies to further extend their stay for a maximum of 12 months, for which they will have to pay the fees at the prevailing market rate to be determined by DTU. Based on market conditions and other variables, the initial duration of 18 months which vary and is therefore only a general guideline and not a standard.

2.7 Creating Innovation Pipeline and Pathways for Entrepreneurs at University Level

Following activities will be taken up in connection with Innovation Pipeline and Pathways for Entrepreneurs at University Level-

(a) Spreading awareness among students/faculty/staff about the value of entrepreneurship and its role in career development or employability shall be a part of the institutional entrepreneurial agenda.

(b) Students/ staff should be taught that innovation is a mechanism to solve the problems of the society and consumers. Students should be encouraged to develop entrepreneurial mindset through experiential learning by exposing them to training in cognitive skills by inviting first generation local entrepreneurs or experts to address young minds

- (c) To ensure maximum participation of students to innovation and incubation, following actions shall be taken up -
- (i) Regular awareness programs round the year through Institute Innovation Council (IIC) to introduce the students with entrepreneurship and innovation.
 - (ii) Specialized workshops and short-term courses in IPR, entrepreneurship development, various technology-based skill development programs, etc. shall be organized by concerned department/cell to help students/faculty to develop various skills required in their entrepreneurial journey.
 - (iii) Collective and concentrated efforts shall be undertaken to identify, scout, acknowledge, support and reward proven student/faculty ideas and innovations and to further facilitate their entrepreneurial journey.
- (d) Other support shall be provided to potential entrepreneurs in following manner-
- (i) Organizing networking events for the budding entrepreneurs to meet investors and pitch their ideas.
 - (ii) Providing business incubation facilities such as premises at subsidized cost, Laboratories, research facilities, IT services, training, mentoring, etc.
 - (iii) Promoting a culture to understand that money is not FREE and is a RISK capital. The entrepreneur must utilize these funds and return. While funding is taking risk on the entrepreneur, it is an obligation of the entrepreneur to make every effort possible to prove that the funding agency did right in funding him/her.
- (e) Innovative projects undertaken by the students shall be supported by University and TBI.
- (i) Specific committees shall be constituted for selection to incubation and project monitoring in TBI consisting of experts from incubation and entrepreneurship, prototype development, IPR, marketing, finance and technology experts.
 - (ii) TBI-DTU shall provide fabrication and rapid prototyping facilities for prototype or product development through Innovation Center and fab laboratory.
 - (iii) Mentoring support shall be provided when incubated student/faculty registers his/her company. Also they shall be provided linkages with angel investors, venture capitalists and investors for scaling up his/ her business.

2.8 Pedagogy and Learning Interventions for Entrepreneurship Development

DTU initiated Micro degree certification program with diversified approach in teaching and learning pedagogy including cross disciplinary learning using mentors, labs, case studies, games, etc. in place of traditional lecture-based delivery. Experts from industry, mentors from different areas of business and enterprise will be the part of resource person team of this micro degree certification program. This program has adopted blended learning mode of pedagogy which consists of project and problem-based learning, online learning with MOOC platform and courses from course era.

- (a) A Technical council/innovation center shall be responsible to co-ordinate all student clubs, whereas individual departments are responsible for running technical hobby clubs, project workshops/labs.
- (b) IIC/DTU-IIF shall be responsible for organizing competitions, boot-camps, workshops, awards, etc. A separate E-cell will run and administered by students is totally involved in strategic planning and implementation of these activities.
- (c) As part of awareness program about entrepreneurial ecosystem present in the University, introductory sessions will be organized for all the students of all the programs in DTU by IIC/DTU-IIF/IPR cell/Technical Council.
- (d) DTU-IIF/TTO shall be responsible for conducting research and survey on trends in technology, research, innovation, and market intelligence. Industrial consultancy, industrial visits and student internship related activities shall be explored by DTU-IIF/TTO.
- (e) To promote student ideas, projects and innovations based around real life challenges, boot-camps, visits to rural and underprivileged areas in nearby region and hackathons will be organized by IIC/DTU-IIF on regular basis.
- (g) Innovation champions shall be nominated from within the students/ faculty/ staff for each department/stream of study.
- (h) University shall start annual '***Innovation & Entrepreneurship Award***' to recognize outstanding ideas, successful enterprises, and contributors for promoting innovation and enterprises ecosystem within the University.
- (i) Customized teaching, training and learning material shall be developed for the promotion of entrepreneurial activities.

2.9 Collaboration, Co-creation, Business Relationships and Knowledge Exchange

Stakeholder engagement is of prime importance in the entrepreneurial agenda and therefore DTU shall extend assistance in finding potential partners, resource organizations, micro, small and medium sized enterprises (MSMEs), social enterprises, schools, alumni, professional bodies and entrepreneurs to support entrepreneurship and co-design the programs. DTU shall develop policy and guidelines for forming and managing the relationships with external stakeholders including private industries. Following points will be adhered to –

- (a) For all the activities relevant to the entrepreneurial agenda of the University, participation and collaboration of industry partners, University of national importance, international institutions, social enterprises, schools, alumni, professional bodies and entrepreneurs will be encouraged.
- (b) CEO DTU-IIF and his team will be Single Point of Contact (SPOC) in the University for the students, faculty, collaborators, partners and other stakeholders for the purpose of Innovation and entrepreneurship.
- (c) University shall have collaborations with associations of industries, with various government departments and ministries like DST, MeitY, research organizations etc. All these collaborations shall prove to be beneficial to the students in their entrepreneurial journey.

2.10 Entrepreneurial Impact Assessment

Impact assessment will include various parameters for Entrepreneurial initiatives such as pre-incubation, incubation, entrepreneurship education. The KPIs will be developed on following lines:

- (a) Monitoring and evaluation of knowledge exchange initiatives, engagement of all departments and faculty in the entrepreneurial teaching and learning will be assessed.
- (b) Participation in awareness programs will be reviewed as and when required.
- (c) Number of start-ups created, support system provided at the institutional level and satisfaction of participants, new business relationship created by DTU will be recorded and used for impact assessment.
- (d) Impact will also be measured for the support system provided by DTU to the student entrepreneur for pre-incubation, incubation, IPR protection, industry linkages, exposure to entrepreneurial eco-system, etc.

- (e) Participation in pitching for fund raising and grants/support from government and non-government agencies
- (f) Impact assessment for measuring the success will be in terms of sustainable social, financial and technological impact in the market. For innovations at pre-commercial stage, development of sustainable enterprise model is critical.
- (g) Formulation of strategy and impact assessment should go hand in hand. The information on impact of the activities will be actively used while developing and reviewing the entrepreneurial strategy.
- (h) Startup registrations and company incorporation will be monitored.

A committee nominated by the Competent Authority will be responsible for assigning appropriate weightages to the above parameters depending on the maturity of the process. A separate document regarding this will be made available by Institute Innovation Council and reviewed annually.

2.11. Terms and Conditions – Dispute Settlement of Disputes, Confidentiality and Competent Authority

All aspects of this policy will be regulated by the management of the DTU through Startup Policy Governing Council to be setup explicitly set up or Dean IRD office and mandated to control the policy, to approve any derogations and to make changes to the policy as deemed necessary from time to time.

If there is a dispute in ownership, a 3 to 5 membered committee as under will be proposed by Governing Council/Dean IRD office and approval of the Competent Authority shall be obtained for examining the issue and resolving the dispute.

- (i) Upto two faculty members (having developed sufficient IPR/ translated to commercialization)
- (ii) Upto two of the institute's alumni/ industry experts (having experience in technology commercialization)
- (iii) One legal advisor with experience in IPR.

The decision by the University Management / Governing Council/Dean IRD office shall be final. Any further escalation of the dispute will be subject to arbitration under the Indian Arbitration Act following the decision of the DTU Management / Governing Council/Dean IRD office. Delhi, India, is the jurisdiction of all disputes.

All other issues including any provision which has not been covered explicitly in this policy will be submitted to Vice Chancellor DTU and his decision will be final.

2.12 Review of the Policy

Considering the feedback from stakeholders which is the reflection of impact of the existing policy, a review committee will examine and finalize the recommendations for change in the policy. The review committee will be constituted on the recommendation of the Governing Council/Dean IRD office with the approval of the Competent Authority.

2.13 Way Forward

Successful implementation of the 'DTU Innovation and Startup Policy' for students and faculty is the main objective. In order to achieve this, full-fledged support of all the academic, non-academic and supporting departments will be important. The roadmap suggested through this document is 'broad guidelines and this policy document shall be refined/improved/amended from time to time on the recommendation of the Governing Council/Dean IRD office with the approval of the Competent Authority.

3.0 DTU Innovation and Startup Policy –Regulations for Faculty /Staff

3.1 Norms for faculty/Staff Startups at DTU

DTU encourages and prioritizes the faculty participation as entrepreneurs in the following order:

- (a) Companies owned by individual faculty/staff members of the university.
- (b) Companies jointly owned by the faculty/staff members and graduating students/alumni
- (c) Companies owned by the faculty/staff members (one or many) along with possibly other entrepreneurs

3.1.1 Applicability and Terms and Conditions

This policy is applicable to any DTU faculty and staff (including all DCE faculty and staff) who is a founder/owner or co-founder/co-owner/direct promoter/board member of such companies. He/she may also play an operational role (Consultant, Technical Adviser, CEO, Marketing Manager, etc.) with the approval of the university under the following terms and conditions.

- (a) Majority of Founders/Shareholders/ core team should be Indian citizens.
- (b) Faculty should sign an undertaking for “conflict of interest” to ensure that regular duties shall not be suffered owing to his/her involvement in the startup.
- (c) Applications for admission to the incubator will be made on behalf of registered unlisted companies within the meaning of the 1956 Companies Act. Where a company has not been registered, an application can be made in the name of all the promoters/founders; however, the promoters/founders must ensure that the company is registered in the incubator within a period of three months from the date of approval of the application.
- (d) If the faculty/ staff holds an executive or managerial position for more than three months in a start-up, they will go on a sabbatical without pay/leave without pay/utilizing existing leave as per DTU norms.
- (e) Faculty must clearly separate and distinguish on-going research, consultancy projects, teaching and other activities at the university from the work conducted at the startup/company.
- (f) In case of selection of a faculty start up by an outside national or international accelerator, a maximum leave (as sabbatical without pay/ unpaid leave/ casual leave/ earned leave) of one semester or a year (or upto eighteen months depending upon the decision of review committee constituted by university /Vice-Chancellor/Board of Management) may be permitted to the faculty. The seniority and other academic benefits during such period may be preserved for such faculty

member.

- (g) Faculty must not accept gifts from the startup.
- (h) The faculty cannot include research resources of the University in start-up activities except for innovation; it may not be used for commercialization activities and vice versa.
- (i) Human subject related research in Startup should get clearance from the ethics committee. Ethics committee will be constituted by the competent authority of DTU.
- (j) The faculty shall not either directly or indirectly, pursue equity or pleasure in any way other than as described in this policy in the case of a faculty member leaving DTU for a period of twelve months from the date of departure.
- (k) There will be no restriction on shares that a faculty member can own in the company.
- (l) Participation in startup related activities shall be considered as a legitimate activity of faculty in addition to teaching, R&D projects, industrial consultancy and management duties and shall be given due consideration while evaluating the annual performance of the faculty.
- (m) Faculty must not involve research staff or other staff of university in activities at the startup and vice-versa.
- (n) DTU shall revise the performance evaluation policies for faculty and staff to encourage innovation and entrepreneurship.
- (o) Product development and commercialization as well as participating and nurturing of startup shall be a part of faculty duty and each faculty shall choose a mix and match of these activities (in addition to minimum required teaching and guidance) and then respective faculty are evaluated accordingly for their performance and evaluation.

3.1.2 Method of Admittance

The general provisions for admittance are described in this section. The provisions particularly with respect to admittance of funding will be governed by the decision taken by DTU/DTU-IIF from time to time. Incubation in DTU-IIF will be done in two stages.

Pre-incubation stage:

- (a) Any faculty/staff (As per norms given at 3.1) has to find out a problem statement which should be realistic one and associated directly with societal issue.
- (b) Faculty/Staff has to find out a potential solution that can solve the predefined problem. The solution should be an innovative solution. The idea or innovative process is to be submitted to DTU-IIF on rolling basis.
- (c) The applicants will be encouraged to participate in national/international contest to validate their ideas/innovation.

(d) The proposal will be examined by a committee of DTU-IIF constituted for this purpose.

(e) The selected proposals will be supported by DTU-IIF as per recommendation of the committee which may include, design and development of prototype, mentorship, etc.

(f) The seed support will be based on recommendation of Finance Review Committee/Investment Committee of DTU-IIF.

(g) Once the idea/prototype is eligible for pre-incubation as decided by the committee and seeking for seed support, this should be registered as a startup under a form of business entity like Partnership Firm, LLP, Private Limited Company and One Person Company. Start-ups should be able to provide a copy of the registration certificate/letter.

(h) The continuance of any startup in the pre-incubation stages as well as release of funds if any will be subject to quarterly performance review.

(i) The potential startup under pre-incubation stage shall be promoted to incubation stage as per the recommendation of performance review committee.

Incubation stage:

(a) Faculty/staff can submit the business plan proposals directly for incubation stage to DTU-IIF.

(b) Faculty/staff needn't to undergo ideation stage and take part in competition as stated above provided they have independent funding available.

(c) In case any proposal/project/idea has already been evaluated by some national/international organization and funding has been given such proposals will be given priority for support.

(d) The DTU-IIF committee will evaluate for its potency, market value, etc. whether it is eligible for a startup or not.

(e) The seed support will be based on recommendation of Finance Review Committee/Investment Committee of DTU-IIF.

(f) Once the idea/prototype is eligible for startup as decided by the committee, this should be registered as a startup under a form of business entity like Partnership Firm, LLP, Private Limited Company and One Person Company. Start-ups should be able to provide a copy of the registration certificate/letter.

(g) The incubation will be as per terms and conditions of DTU-IIF issued from time to time.

3.2 Regulations for Financial Handling

The following financial provisions shall apply to all the startups registered with DTU-IIF.

(a) The company will have its own funding and accounting procedures in line with the existing industry norms and will ensure annual audit and other regulatory compliances.

(b) The startup must open current of the startup immediately on registration of the company. All DTU/DTU-IIF funding will be transferred to the company account.

(c) The startup will be required to submit a utilization certificate annually.

(d) In return of the services and facilities provided, university/DTU-IIF may take 2% to 9.5% equity/ stake in the startup/company, based on brand used, faculty services, faculty contribution, support provided by DTU/DTU-IIF and use of university's IPR. Other factors for consideration would be space, infrastructure, mentorship support, seed funds, support for accounts, legal, patents, etc. The DTU-IIF equity/stake in the startup will be based the recommendation Finance Review Committee.

(e) The money (honorarium, salary, consultancy or remuneration in any other form) paid to the founding members of the company will be counted entirely as income of the involved faculty members during the incubation period. After the company moves out of the campus, the faculty member may take long leave and work with the company or may earn in form of consultancy as per the applicable rules and permission of the university.

(f) For faculty and staff startup, university/DTU-IIF will not take more than 20% of shares that faculty/staff takes while drawing full salary from the institution; however, this share will be within the 9.5% cap of company shares, listed above.

(g) No restriction on shares that faculty / staff can take, as long as they do not spend more than 20% of office time on the startup in advisory or consultative role and do not compromise with their existing academic and administrative work / duties.

- (h) In case of compulsory equity model, startup shall be given a cooling period of 3 months to use incubation services on rental basis to take a final decision based on satisfaction of services offered by the university/incubator.
- (i) In that case, during the cooling period, university will not force startup to issue equity on the first day of granting incubation support.
- (j) The faculty member associated shall ensure that at no stage any liability shall accrue to DTU because of any activity of any startup.
- (k) University's decision-making bodies with respect to incubation / IPR / technology-licensing will consist of faculty and experts who have excelled in technology translation.

4.0 DTU Innovation and Startup Policy – Regulations for Students

4.1 Norms for Students startups at DTU

DTU encourages and prioritizes the student participation as entrepreneurs in the following order:

- (a) Companies owned by individual student/group of students of the university.
- (b) Companies jointly owned by the students and faculty members/alumni.
- (c) Companies owned by the students (one or many) along with possibly other entrepreneurs from other universities.

4.1.1 Applicability and Terms and Conditions

This policy is applicable to any student enrolled in DTU who is a founder/owner or co-founder/co-owner/direct promoter/board member of such companies. He/she may also play an operational role (Consultant, Technical Adviser, CEO, Marketing Manager, etc.) under the following terms and conditions.

- (a) Majority of Founders/Shareholders/ core team should be Indian citizens.
- (b) Access to pre-incubation and incubation facility for Startups by DTU students is for a period not exceeding 36 months.
- (c) Licensing of technology, whose IPR is held jointly by DTU or DTU-IIF, to Startups on easy term – either in terms of equity in the venture and/ or license fees and/ or royalty. This will particularly apply in the case of technology developed or co-developed by the concerned DTU students.
- (d) Students shall be allowed, while studying, to work on their innovative startups (including Social Startups) or to work as intern/ part-time in startups incubated in any recognized Higher Educational Institute/ Incubator subject to approval from the university based on recommendation of a committee.
- (e) Student inventors shall be allowed to opt for startup in place of their mini project/ major project, seminars, summer trainings, etc. However, the student must describe how they will separate and clearly distinguish their academic/ongoing research activities as a student from the work being conducted at the startup.
- (f) Students whose startups/ entrepreneurial ventures are under incubation will be allowed to use DTU's address to register their company with due permission from DTU/DTU-IIF.
- (g) Students involved in entrepreneurial activities will be allowed to sit for the examination, even if their attendance is lower than the minimum permissible

percentage, after due permission from the concerned HOD/Dean on review /recommendation of their entrepreneurial activities by DTU/DTU-IIF.

(h) DTU shall consider accommodation to entrepreneurs within the campus for some period of time as per availability.

(i) DTU shall allow students to take a year break or even a longer break, to work on their startups and re-join academics to complete the course. In all such cases the students will submit their applications to DTU/DTU-IIF which after due diligence will forward the application to concerned Dean for further permission and approval.

(j) Students involved in entrepreneurial ventures shall be allowed to earn academic credits for their efforts while creating an enterprise. DTU/DTU-IIF committee will review student startups and based on their progress, it will recommend giving appropriate credits for academics for working on innovative prototypes/ business models.

(k) DTU has started full time MBA (Innovation, Entrepreneurship and Venture Development) and MBA (Family Business and Entrepreneurship) programs, as per the AICTE guidelines for such a program, where one can get a degree while incubating and nurturing a startup.

(l) DTU, through DTU-IIF, will facilitate the startup activities/ technology development by allowing students to use the Institute's infrastructure and facilities, as per the choice of the potential entrepreneur in the following manner:

- i. Short-term (6 – 12 months), part-time entrepreneurship training
- ii. Mentorship support on regular basis
- iii. Facilitation in a variety of areas such as technology development, ideation, creativity, design thinking, fund raising, financial management, cash-flow management, new venture planning, business development, product development, social entrepreneurship, product-costing, marketing, brand development, human resource management as well as law and regulations impacting a business.
- iv. Linking of startups to other seed-fund providers/ angel funds/ venture funds or itself may provide the seed-fund once the incubation activities mature.
- v. License the Institute's IPR as per the policy/guidelines.

(m) Applications for admission to the incubator of DTU will be made on behalf of registered unlisted companies within the meaning of the 1956 Companies Act. Where a company has not been registered, an application can be made in the name of all the promoters/founders; however, the promoters/founders must ensure that

the company is registered in the incubator of DTU within a period of three months from the date of approval of the application.

(n) It is open to all the students enrolled in DTU provided they have not been debarred by DTU for any reason.

(o) DTU shall consider allowing use of its resources to students wishing to establish a Startup as a fulltime effort.

(p) DTU and DTU-IIF will take steps as soon as practicable to modify its policies in spirit of these guidelines in respect of the pre-existing startups.

(q) Students must clearly separate and distinguish academics and other activities at the university from the work conducted at the startup/company.

(r) In case of selection of a student start up by an outside national or international accelerator, a maximum leave of one semester or year (or even more depending upon the decision of review committee/Vice-Chancellor/Board of Management constituted by the university) may be permitted to the student. During this period the student will be given attendance and will be allowed to directly sit for the examinations if necessary.

(s) The student cannot include research resources of the University in start-up activities except for innovation; it may not be used for commercialization activities and vice versa.

(t) Human subject related research in Startup should get clearance from the ethics committee. Ethics committee will be constituted by the competent authority of DTU.

(u) Participation in startup related activities shall be considered as a legitimate activity of student in addition to academics, and shall be given due consideration while evaluating the annual performance of the student.

4.1.2 Method of Admittance

The general provisions for admittance are described in this section. The provisions particularly with respect to admittance of funding will be governed by the decision taken by DTU/DTU-IIF time to time. Incubation in DTU-IIF will be done in two stages.

Pre-incubation stage:

(a) Any student (As per norms given in 4.1) has to find out a problem statement which should be realistic one and associated directly with societal issue.

(b) Student has to find out a potential solution that can solve the predefined problem. The solution should be an innovative solution. The idea or innovative process is to be submitted to DTU-IIF on rolling basis.

(c) The applicants will be encouraged to national/international contest to validate their ideas.

(d) The proposal will be examined by a committee of DTU-IIF constituted for this purpose.

(e) The selected proposals will be supported by DTU-IIF as per recommendation of the committee which may include, design and development of prototype, mentorship, etc.

(f) The seed support will be based on recommendation of Finance Review Committee/Investment Committee/Any other committee of DTU-IIF.

(g) Once the idea/prototype is eligible for pre-incubation as decided by the committee and seeking for seed support, this should be registered as a startup under a form of business entity like Partnership Firm, LLP, Private Limited Company and One Person Company. Start-ups should be able to provide a copy of the registration certificate/letter.

(h) The continuance of any startup in the pre-incubation stages as well as release of funds if any will be subject to quarterly performance review.

(i) The potential startup under pre-incubation stage shall be promoted to incubation stage as per the recommendation of performance review committee.

Incubation stage:

(a) These facilities shall be offered to students who are currently enrolled in any degree program at DTU provided they have not been debarred by DTU for any reason.

(b) Applicants will have to submit a comprehensive proposal for the incubation facility. After the initial screening and eligibility review, candidates will be invited to the DTU-IIF for an initial meeting.

(c) In case any proposal/project/idea has already been evaluated by some national/international organization and funding has been given such proposals will

be given priority for support.

(d) The DTU-IIF committee will evaluate the proposal for its potency, market value, etc. whether it is eligible for a startup or not.

(e) The seed support will be based on recommendation of Finance Review Committee/Investment Committee of DTU-IIF.

(f) Once the idea/prototype is eligible for startup as decided by the committee, this should be registered as a startup under a form of business entity like Partnership Firm, LLP, Private Limited Company and One Person Company. Start-ups should be able to provide a copy of the registration certificate/letter.

(g) The incubation will be as per terms and conditions of DTU-IIF issued from time to time.

4.2 Regulations for Financial Handling

The following financial provisions shall apply to all the startups registered with DTU-IIF.

(a) The company will have its own funding and accounting procedures in line with the existing industry norms and will ensure annual audit and other regulatory compliances.

(b) The startup must open current of the startup immediately on registration of the company. All DTU/DTU-IIF funding will be transferred to the company account.

(c) The startup will be required to submit a utilization certificate annually.

(d) In return of the services and facilities provided, university/DTU-IIF may take 2% to 9.5% equity/ stake in the startup/company, based on brand used, faculty services, faculty contribution, support provided by DTU/DTU-IIF and use of university's IPR. Other factors for consideration would be space, infrastructure, mentorship support, seed funds, support for accounts, legal, patents, etc. The DTU-IIF equity/stake in the startup will be based the recommendation Finance Review Committee.

(e) In case of compulsory equity model, startup shall be given a cooling period of 3 months to use incubation services on rental basis to take a final decision based on satisfaction of services offered by the university/incubator.

(f) In that case, during the cooling period, DTU/DTU-IIF will not force startup to issue equity on the first day of granting incubation support.

(g) The students associated shall ensure that at no stage any liability shall accrue to DTU/DTU-IIF because of any activity of any startup.

Reference

1. National INNOVATION and STARTUP Policy 2019 for Students and Faculty-A Guiding Framework for Higher Education Institutions issued by MIC, Ministry of Human Resource Development, GoI.

https://mic.gov.in/assets/doc/startup_policy_2019.pdf

2. Intellectual Property Rights Policy (2017-
http://www.dtu.ac.in/Web/AICTE/iprpolicy_2017.pdf